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ABSTRACT

Papers from the 1979 Conference of University Administrators are presented. Current problems in higher education in the United States and Canada and the concept of professionalism as applied to university administration were addressed. Contents are as follows: introductory paper: "Professional Associations: The Off-Campus Organizations of Collegiate Middle Managers," by Robert A. Scott; "Current Problems in Higher Education in the United States," by D. F. Finn; "Canadian Education: Problems and Prospects," by P. Bartram; "The Organisation of American Associations of University Administrators," by D. F. Finn; "The Profession of Higher Education Administration," by E. G. Ryan; "Professional Associations in the U.S.A.," by S. Berry; and "An Overview of Admissions Practices in U.S. Colleges and Universities," by C. Sjogren. Among the specific topics addressed at the conference are the following: educational finance; the organization and role of the National Association of College and University Business Officers; characteristics of a profession; the role of the American Association of University Administrators in meeting the requirements of a profession; the organization and role of the American Association of Collegiate Registrars and Admissions Officers; and the admissions process in general and open door, selective, and competitive admission in particular. (SW)

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Supplement to the Proceedings of the Annual Conference held in Edinburgh, April 1979

Papers submitted to a Conference Theme entitled

University Administration in North America

HE 012 679

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UNIVERSITY AND COLLEGE ADMINISTRATION IN NORTH AMERICA

The 'North America Theme' at the 1979 CUA Edinburgh Conference received contributed Papers from the visiting speakers. These are reprinted in this form as both 'Supplementary Proceedings of the Conference' and as an 'Occasional Paper'.

Copies of this Occasional Paper are available from:

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CUA EDINBURGH 1979

UNIVERSITY AND COLLEGE ADMINISTRATION IN NORTH AMERICA:

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UNIVERSITY AND COLLEGE ADMINISTRATION IN NORTH AMERICA

Theme Co-ordinators: R M Mawditt, Principal Administration Officer, University of Bath
J G Kelly, Assistant Bursar, London School of Economics

The Theme on University Administration in North America spanned three sessions of the Conference under the following broad headings:-

(1) Current Problems in Higher Education in the United States and Canada

(2) The Organisation of American Associations of University Administrators

(3) The Concept of Professionalism as applied to University Administration

This Report on the discussions deals with headings (1) and (3); heading (2) has been dealt with at length in the CUA Occasional Paper No 1 "Study Visit to the US 1978"

Speakers

The following invited speakers contributed to the theme discussions:
Mr P Bartram, Registrar, Brock University, Ontario, Canada;
Mr S Berry, Past President of the American Association of Collegiate Registrars and Admissions Officers;
Mr D F Finn, Executive Vice President, The National Association of College and University Business Officers, USA;
Rev E G Ryan SJ, President of the American Association of University Administrators;
Mr C Sjogren, International Vice President, The American Association of Collegiate Registrars and Admissions Officers.

Current Problems in Higher Education

The Principle Speakers on this topic were Mr Finn and Mr Sjogren and a number of current problems were highlighted. Father Ryan contributed points of particular relevance to private institutions and Mr Bartram highlighted some of the similarities and differences for higher education in Canada.

In 1975/76 the current expenditure on higher education in the United States was $40 billion of which $27 billion was in public institutions and $13 billion in the private sector. About 50% of this income comes directly from public funds and nearly 25% from fees. About 1/3 of fees income is paid from Federal Funds. The balance of income comes from gifts, grants, endowments, sales, services and miscellaneous sources.

There has been a deliberate policy to have diverse sources of finance even in the Public Sector where there is an anxiety not to have strong Government control over education. The public institutions have therefore been trying to raise money privately, whilst the private institutions on the other hand have been keen to develop Federal and State Government support for student financial aid and for research. During the 1960's the financing of Education was probably the main social priority but this is no longer the case. Even so, State expenditure has been maintained in real terms and Federal expenditure, at least on student financial aid, has increased. Pressures for reductions in public expenditure, notably so far in California, and a growing feeling that universities should be more accountable both for their academic programmes and general operations will undoubtedly add to the financial problems facing higher education.

Student enrolments are already declining and are expected to decline still further in the coming years. Faced with substantial investments in educational facilities and too many teachers in most academic fields, institutions are intensifying their efforts to recruit students. The need to compete for students perhaps makes it even more difficult for institutions to increase the proportion of their income from tutition fees when other sources of funds are squeezed. There is evidence that the consumer's own costs in teaching higher education are having an increasing and disturbing influence on who goes to college.

Federal and State Legislation Affecting US Higher Education

Although there is no Federal Ministry of Higher Education in the United States, there is a constant stream of legislation and court decisions which affect the way universities do their business. Higher Education is involved in the lobbying process before legislation is passed and has to be able to respond quickly to decisions of the legislature and the courts, eg the Family Educational Rights and Privacy Act of 1974, the Rehabilitation Act 1973, the Civil Rights and Womens' Rights Legislation and the Bakke Decision handed down in June, 1978. A major preoccupation for institutions in the last couple of years has been a need to improve the finance facilities for handicapped staff and students.

Whilst private institutions are free to adopt their own admissions policies and criteria, public institutions are subject to state rather than Federal requirements in this respect. The Federal Government has been pursuing for some years a policy to give minority groups greater representation in higher education. Its main influence in this direction has been by legislation against discrimination and by directing federal funds in large measure towards student financial aid, for members of minority groups. Whilst some progress has been made, blacks, Spanish surnamed people and American Indians remain seriously under represented in American Higher Education.

The level of foreign student enrolments in the United States is also proving to be a problem. As in the UK, part of the reason for the increased number is undoubtedly due to decling home enrolments and over 250,000 foreign students are now enrolled in US colleges and universities. National discussions are now being held on the impact that specific groups including Iranians, Nigerians and Chinese have on the educational processes in institutions.

Deferred maintenance is starting to prove a major problem in US institutions. Much of university physical facilities were developed in the last 30 years and are starting to show signs of deterioration. In many cases inadequate funds are being set aside for maintenance.

The Profession of Higher Education Administration

Father E Ryan was the principal speaker in this session which discussed this topic. In the first part of his talk he defined the characteristics of a profession and how the use of the term might be relevant in the context of higher education administration. The second part of his talk showed how the American Association of University Administrators had attempted to meet the requirements of a profession.

Amongst non-manual work occupations, some intellectual ones are called "professions" and the four original ones of medicine, law, ministry and teaching have given essential characteristics viz! a) concerned with public service; b) requiring special educational preparation; c) requiring continued up-dating to keep up with advanced in the field; d) possessing a statement of expected standards or code of action; e) having the capability of self-policing the observance of the standard or code.

An additional criterion of "public service" has been used when extending the term "profession" to other occupations eg architecture, engineering and accountancy. However the other four criteria, in addition to public service, must also be present before the occupation is recognised as a profession.

The American Association of University Administrators had its origins very much in the American tradition. It was not imposed from outside higher education whether by the State or the Church as might have happened in an earlier era. It arose within the context of 1970 and the Vietnam war, at a time when the United States' campuses had become heavily politicised. Traditionally, US Colleges and Universities have been built on the idea of a Collegium or Community of Scholars in which all were broadly agreed on the mission and role as well as the rules of social interaction. This harmony had almost entirely broken down by 1970.

AAUA came into being with certain basic operating principles:-

there should be no turning back of the lock to the 1950's when there was a fairly clear division of responsibility between faculty and students and administators and everybody knew their function

there was a desire to "advocate" the best interests of higher education (not the interests of "administrators" per se)

AAUA should not become adversarial towards institutions ie colleges and universities.

Underlying the foundation of AAUA were certain basic ideas:-

AAUA administration of higher education as a profession is separate to that of teaching

to be recognised as a separate profession, the administration of higher education lacks two necessary characteristics which AAUA would attempt to provide, ie a code of ethics and a self policing mechanise. AAUA therefore produced a statement of "Professional standards for administrators in higher education" which set out, in some detail, both the rights and responsibilities of administrators. AAUA also set up a Standards and Review Committee to fulfil the role of a self policing mechanism.

Among the points made in the discussion which followed Father Ryan's presentation were the following:

1. Professions invariably require not only special education or preparation, but also an educational qualification and there was considerable disagreement as to whether an educational qualification would have any merit in the UK context.

2. Many administrators in the UK were anxious not to emphasise too much the idea that administrators formed a separate profession to that of university teachers, because administrators liked to associate themselves with teachers as much as possible.

3. AAUA's activities had led itself into representing and mediating for individual administrators in dispute with their institutions but that in the UK contect this was a function to be carried out by the Association of University Teachers rather than by the Conference of University Administrators.

PAPER 2

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PROFESSIONAL ASSOCIATIONS: THE OFF CAMPUS ORGANISATIONS OF COLLEGIATE MIDDLE-MANAGERS

R A Scott, Cornell University

For collegiate middle-managers, national associations provide peers, recognition, training, direction, guidence, rewards, and information about their jobs and their profession's standing (Scott, 1978b). Middle-level administrators belong to the associations named for them, such as the American Association of Collegiate Registrars and Admissions Officers (AACRAO), the National Association of College and University Business Officers (NACUBO), the College and University Personnel Association (CUPA), the Association of Physical Plant Administrators (APPA), the National Association of Student Financial Aid Administrators (NASFAA), the Council for the Advancement and Support of Education (CASE), the National Association of College and University Attorneys (NACUA), and the Association for Institutional Research (AIR). Other associations exist for career counselors, campus insurance administrators, housing officers, affirmative action officials, sponsored research administrators, auditors, book-store managers, buyers, life safety officers: you name the group and the odds are that they have an association. One of the newest is an informal association of Bursars. Even presidential assistants are talking about organising and issuing a newsletter.

Top education administrators are typically represented through institutional associations, such as the American Council on Education (ACE), the major umbrella organisation for institutions and other associations, and the American Association of State Colleges and Universities (AASCU), the Association of American Colleges (AAC), the Association of American Universities (AAU) the Council for the Advancement of Small Colleges (CASC), the National Association of Independent Colleges and Universities (NAICU), and the National Association of State Universities and Land-Grant Colleges (NASULGC). There are other, smaller, more specialised groups as well.

Institutional associations have been described quite thoroughly in Bailey (1975), King (1975), Murray (1976), and Wolanin (1976). Bender (1977) has brief but cogent remarks about them. However, not much has been written about the associations for collegiate middle-managers, except for their own members. Therefore, I will describe the development and purposes of these associations, and analyse their effects on constituents.

Most "professional" or occupational associations begin in similar ways. One person thinks it would be beneficial for others with similar responsibilities to meet, compare problems and resources, and discuss possible solutions and standards. Clifford Constance, who edited the historical review of the American Association of Collegiate Registrars and Admissions Officers, includes this section:

"On February 26, 1910 Mr A W Yoder, the financial secretary, and Mr Alfred H Parrott, the Registrar of North Dakota Agricultural College, sent a letter to most of the registrars and accountants in the state colleges and universities, pointing out the advisability of their holding a meeting for the purposes of discussing subjects and problems of common interest, and asking them whether they would attend such a meeting . . . . To this letter about sixty replies were received . . . . At least forty-six . . . . were so enthusiastic that it was decided to call a conference . . . . . Each person who has responded was urged to be present ' with at least one suggestion or one question.'
At 9 O'clock on Monday morning, August 15, 1910, twenty-four persons assembled in the Detroit High School Building. Of this number fifteen were college registrars and nine were college accountants or financial secretaries." (Constance, 1973, pp. 2, 3).

In that modest beginning - modest in setting and number, but not in geographic representation : 21 states were represented - two great associations find their origins. For not soon after the meeting began,

"These college accountants decided that since their work, problems, and methods differed greatly from those of college registrars, it would be more advantageous for them to hold a separate meeting and to form an independent association (ibid.)."

At that meeting, the registrars discussed topics that are still important to them and the likes of which are important to every collegiate middle-manager: duties and functions, procedures, communications with faculty and students, reports, problems, and questions of confidentiality and disclosure. The meeting even included a report on current research, "A very detailed study of the functions of college registrars in ten representative 'land-grant' institutions." Before the conference was adjourned, the participants decided to form a permanent national organization of college registrars. The second host was M.I.T. Today, AACRAO has more than 6600 active members from 1950 institutions, eight paid staff, and a budget of nearly $600,000.

The seeds for the national associations were planted earlier with an informal meeting of mid-western college Secretaries and comptrollers convened by a consultant for the Carnegie Foundation. The objective of that meeting was to design a uniform set of forms to be used by the Carnegie Foundation in securing annual reports from colleges and universities. After the consultant left the meeting, the college representatives voted formally to meet annually (ibid., p. 4).

At the time of these meetings, college presidents and professors in several disciplines met to discuss common interests, but administrative positions were still in an early stage of development. However, once accountants, registrars, and secretaries began meeting, other groups developed as these occupations grew in specialization. The process of development takes two forms: splintering off from a large group, and starting from a small, usually informal, gathering of officials from a common region.

Today, most higher education associations have headquarters with paid staff in Washington, D.C. These are relatively recent phenomena that follow naturally from association purposes and national forces. According to Bailey, the dramatic increase in federal contracts, grants and formula aid in the 1950's and 1960's, and the consequent rules and regulations, "served as a magnet to draw distant assocation headquarters like iron filings to the field of force of the nation's capital" (1975, p. ix). Law firms and trade associations are attracted by the same magnet (Roberts, January 11, 1978, p L9; Roberts, March 4, 1978, p. 23).

At first, assocations like NASFNAA had an elected, volunteer financial aid administrator serve as its chief executive. In the late '60's, an Aid Administrator at a university located in Washington, D.C. was asked to serve as a one-half time, paid executive. A short time later, in 1972, the first full-time paid executive was appointed. By 1977, the association had three full-time paid staff in their rented office building quarters (Dallas Martin, Executive Secretary; Interview June 15, 1977). APPA had similar beginnings. The first full-time staff were appointed in 1972, with a budget of $56,000. By 1978, the association had nine full-time staff and was planning to add another. The annual budget was nearly $500,000, only 31 percent of which came from dues (Paul Knapp, Executive Director; Interview, June 16, 1977 and letter to the author, August 10, 1978).

While the associations under discussion serve specific audiences, their purposes sound surprisingly similar. Substitute "Registrar" or "physical plant administrator" or "personnel officer" or "College attorney" for business and related terms in the following and you would have an approximation of the statement of objectives for those associations.

"NACUBO's objectives are 1) to encourage excellence and creative leadership in business and financial management in higher education; 2) to make available to higher education at the national level the judgment and experience of the business office professional; 3) to open channels of communication on problems of business management that are important to higher education; 4) to give the business officer continuing opportunity for professional contact, expression, and growth; and 5) to cultivate professional attitudes, ideals, and standards " (NACUBO, 1976, p. 38).

In fulfillment of their objectives, associations engage in a variety of activities. Some are sponsored by state or regional branches of the national group; others are sponsored by the national group itself. These activities can be divided into three general categories: professional programs, research and publications, and committees or commissions.

Professional programs include annual meetings, regional and topical conferences, workshops, seminars and otherforms of study programs, and summer institutes. Research and publications include association, foundation, and government-sponsored projects, conducted by association staff, members or other specialists- quarterly or monthly journals, periodic newsletters, monographs, manuals and guide books, bulletins, occasional papers, and library services. (For a critique of what middle-managers read and who writes it, see Scott, 1976). Committees or commissions of staff and members and other experts (practitioners and scholars) study and report on the concerns of the association: policies, procedures, government regulations, taxation and philanthropy, special needs, postal regulations and service, energy policies, etc.

One service, of increasing importance is to monitor Federal activity of concern to colleges and universities, and to both report new developments to the campuses and to represent campus concerns before government agencies and committees. An important function is to help arrange for presidents of different types of institutions to testify on critical issues such as Veterans Administration and privacy regulations, and the paperwork burden associated with many Federal requirements.

In these activities, associations try to work together, with one or another of the institutional or professional groups taking the lead. NACUBO took the lead on paperwork problems, AACRAO on Veterans Administration regulations; CUPA spearheaded many of the effforts associated with compliance to regulations concerned with handicapped students and employees, and APPA has become a chief force in representing higher education's interests in the development of a national energy policy. On some issues, though, especially, it seems, financial aid and the exchange of legal information, many associations want to be in on the act and some duplication of effort seems inevitable.

One of the major acts of coordination was to build a National Center for Higher Education at One Dupont Circle in Washington, D.C. Most of the major groups representing specific functional or professional interests are headquartered there, or at the new companion building, Eleven Dupont Circle, which was constructed in 1977 to house the overflow from number One. Even those not housed on Dupont Circle, though, participate in the efforts at coordination sponsored by ACE and the other leader organisations. The small Coordinating Committee which meets twice a year to discuss long-range issues, the larger Secretariat which meets monthly for more detailed discussion, and the influential Committee on Governmental Relations of NACUBO which meets twice a week for discussions of strategy and assignments are described in varying degrees of detail by Bailey, Bender, Murray, King and Wolanin in their works cited earlier.

The task of these groups is called lobbying by some, although that short word has both connotations and denotations that officials in educational associations want to avoid. It is certainly true, however, that it is as important to them to provide information to government officials as it is to help orient, train, and involve their members in association activities. Protection of the group is an important part of advancing its interests and its status.

Two topics deserve further treatment before some conclusions can be made about associations as organizations of importance to collegiate middle-managers. The first is the members themselves; the second is the executive directors of the associations.

Nearly every association conducts a membership survey every few years. In part this is a matter of curiosity--as it was back in 1910--but it is also good marketing strategy. For once established, national associations, like any other organizations, want to survive by serving their members. And one must know who he is serving. Interesting survey results may be found in CASE Currents (Raley,1978), the NACAC Journal (Whitmire, 1978) other association journals, or by writing to the associations. A succinct review of middle-managers' associations is found in "Profile," a description of the College and University Interassociation Management Related group (NACUBO, 1976).

In my interviews and survey of collegiate administrators,* in which I questioned them about their associations, I found that membership activity may be formulated in four levels: forerunners, actives, identifiers, and inactives. Forerunners are the leaders in their field, who together with officials of similar levels of expertise from institutions across the country form the basic cadre from which officers are elected and planning committees are selected, and on which professional role models are based. They are the statesmen of the field. They write articles and lead discussions on current issues. Forerunners are typically drawn from a relatively small group of similar institutions and may meet informally the auspices of the association. In some cases, their success at developing a professional association has been so great that they no longer feel they can gain from it. New members face different levels of complexity than the forerunners, who find they gain less and less from the association. They give, but receive less in return each year.

This is not to say that new leaders do not emerge from the ranks of the actives, members who attend meetings and contribute to the development of the organisation.

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* My research was supported by the Exxon Education Foundation. In 1977, I interviewed association executives and more than 200 middle-managers and their senior officers on twenty campuses. In additions, I surveyed a selected sample more extensively.

Almost by definition they are from large or elite, well-endowed institutions with budgets to permit travel to conferences and meetings. Associations pay for officers' travel, but one must be active and visible before he becomes an officer. Therefore, the association is, in a sense, pushed forward by those from the most complex institutions, which is not surprising.

Identifiers are frustrated. They work in smaller schools with small budgets. Travel is severaly limited, so participation is limited to reading association materials or to attendance at major meetings when they are members of a profession, but have little opportunity to associate with colleagues in it.

Inactives are at institutions of all sizes. They do not associate with their professional group, and do not seem to miss it. I found few of this type.

Membership profiles are especially interesting when they are compared over time. As collegiate middle-managment becomes more complex, the educational attainments and interests of members advance. For example, not so many years ago, APPA members were more like senior building custodians than engineers. But the campus construction boom of the early '60's and the increasing use of elevators, air conditioning, and other complex equipment, as well as new and more sophisticated building techniques demanded a higher level of training. Now, the profile of active members shows an engineer, often with a Master's degree in Business Administration, as the representative person (Paul Knapp, op.cit). Other associations show comparable changes.

Membership also seems to vary by the dues structure of the association. In some cases, membership is an individual matter; in other cases, it is institutional. The latter condition is desired because it yields more funds, greater financial stability, and a higher level of status among associations. But it also reduces the number of "voting" members, and on some campuses, it seems that the voting or official representative, who is almost always the director of the office, is the only one to participate in association activities.

The full-time executive directors of associations are an interesting group. Some have many years of experience in their field, but quite a few do not. Mobility for an association executive is similar to mobility for a Registrar: he must move to a larger organization. As a consequence, not all have experience in the field whose professionals they represent. King describes these executives as highly educated, well paid, and mostly WASPS (1975). Many belong to their own association, the American Society of Association Executives, which is comprised mainly of business association administrators and has both regional and national membership groups. Twenty-one belong to the College and University Interassociation Management Related Group.

While parts of higher education are now experiencing retrenchment, associations are still growing in complexity and staff size.

In 1977, the Association of American Universities, for example, which represents about sixty national research universities, doubled the size of its staff and almost trebled its annual dues per institution to $12,000.

Associations are important orgainzations for middle-managers. They provide and enhance identity, information, status, and recognition. These are important benefits. But these benefits have an obverse side: there are problems, too. The major problem results from increasing specialization, which associations assist.

With increased specialization of each occupational group, it is more difficult for them to cooperate and co-ordinate with other groups. This has consequences for activities both in Washington and on campus. In Washington, this means difficulty in limiting the duplication of efforts on behalf of certain issues, such as federal financial aid, and making the most effective use of resources. It also means that personnel officers and physical plant administrators want to be independent of business officers, from whose space at One Dupont Circle they sprang. There is a certain jealously among several associations about the resources and role of NACUBO whose annual budget exceeds $2 million dollars and whose officers are central to the discussion of most major issues.

A similar phenomenon occurs on campus. There, too, middle-managers differ in power, status, and opportunity; the strong want to lead, while the weaker want to emerge as independent. Specialization helps cause this dilemma, and certain dysfunctions result. One is that middle-level collegiate administrators, who really share much in common, are more likely to provide critical job information to senior administrators and peers off-campus than to colleagues on campus (Scott, 1977a, 1977b). For example, NACUBO provides excellent newsletters and special bulletins about new federal requirements, but these publications usually have rather limited circulation on campus. Some middle-level administrators, such as attorneys and personnel officers, will have delayed access to them, while others, who may also "need to know" may be outside the orbit of campus circulation. As a result, they must rely explicitly on others, or urge their own association to establish a Washington "hotline". Information is the key to status, and NACUBO provides more and better information than just about any other occupational association.

In their struggle for status, middle-managers and their associations have emphasized the importance of specialization and the use of specialized knowledge. When this has been done effectively, it has strenthened their position on campus. However, specialization has tended to load certain communication links (to senior administrators and to associations) and place relatively less importance on others (to other campus middle-managers and to faculty). One can agrue that middle managers expect other specialized channels to convey information to faculty: for example, the Provost may be the appropriate channel for equal employment and mandatory retirement legislation requirements.

But that circuit can only carry so many messages and there are many other topics of information: explanations of TIAA-CREF mailings, the effects of a new minimum wage on department employment of part-time help, etc. (Scott, 1977a).

It is difficult to argue as persuasively that each middle manager office should expect some other to provide critical information to middle-managers who also have a "need to know." (The problems of communication on campus are discussed in Scott, 1978b). The demand for information, guidance, and training is so great that each middle-level administrator wants timely data, and ready access to it. When one adds to this the desire for recognition and the status that comes from being part of a recognized group, it is easy to understand the dramatic growth of complex national associations as important organizations for middle-managers.

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CURRENT PROBLEMS IN HIGHER EDUCATION IN THE UNITED STATES

D F Finn, Executive Vice-President, National Association of College and University Business Officers (NACUBO)

Seminar I

This paper is addressed to the issues of financing higher education in the United States and related problems. I would first like to discus the size of the higher education system in financial terms. U. S. statistics for 1975-76 show revenues for current operations for high-education were approximately $40 billion with $2 billion being in the public 4-year sector, $5 billion in the 2-year college sector for a total of $27 billion in the public sector and $13 billion in the private sector. These revenues are received by more than 3,000 campuses. Of the $40 billion, approximately $9 billion is received from tuition and fees from students: $6.2 billion from the federal government or appropriations grants and contracts; $12 billion from the state governments; $1.5 billion from the local government; $1.7 billion from gifts and grants; $.7 billion from endowment income; $7.2 billion from sales and services including auxiliary enterprises and hospitals and $1.7 billion from miscellaneous sources. These figues do not include support for capital expenditures. It should be recognized in these revenue figures that of the $9 billion of tuition and fees more than $3 billion is from the federal government provided directly to students for student aid.

The obvious diversity of financial support of higher education in the United States has resulted from a deliberate policy to encourage various sources of support, to discourage the development of a strong ministry of Education which might control all funds and therefore control all policy for education. Public institution,

although primarily supported from public funds, are dependent also on tuition and therefore respond to the consumer - the students. Public institutions in recent years have embarked on fundraising efforts to raise funds from the corporate and private sector. On the other hand, private institutions have turned more and more to the federal government for direct support of the individual students and for support through special programs sponsored by federal agencies such as the National Science Foundation to provide resources for research, improvement of libraries, and adequate scientific equipment on campus. At the state level, of the 52 states, more than 30 provide some form of state scholarship program available to any eligible student from within a given state, normally for support if the student attends an institution within the state. For a few states funding may be available for attendance at institutions in other states. In a few states, the grants go directly to the institutions. In most cases it goes to the student who then selects the institution. When funds are given directly to the institutions the basis is usually the number of in-state students attending the institution.

Recent events in the United States including what has been called a tax revolt in California, under Proposition 13 which limited the amount of property tax, have raised many questions as to the future challenges for financing higher education. There is no question that the golden years of the 60's, in which higher education was the number one social priority, have ended. Other social priorities, equal rights for minority groups, including race and sex, and those with physical handicaps, plus increased welfare needs and environmental concerns

have resulted in higher education having a lower priority in the mind of the public. There are those who see gloom and doom for the future of financing higher education. However, realistically, the situation is still healthy. Financial support at the state level, in constant dollars, has been maintained over the past 10 years. At the federal level, the support of the individual student, through federally financed student aid, has actually continued to increase in this period.

The major financial crunch in the coming years will result from the declining student enrollment which will raise many appropriate social questions as to how should higher education expect to receive more and more dollars, if we are serving fewer students. To adjust to the changed circumstances of a steady state, enrollment and tax reduction efforts will offer serious challenges to higher education.

Almost all institutions have a governing board, variously called the corporation, the board of directors, the governing board. These bodies have been established by state law or by charters granted by a state for the purposes of organizing and managing an institution of higher learning. The governing board normally establishes the mission, approves all policies and to a greater or lesser extent may be involved in certain management aspects of the institution. Normally, the governing group has strong interests in the financial affairs of the institutions spending considerable time on matters such as the budget, tuition, residence hall charges, new construction and similar problems. Their ability to make informed judgements concerning the academic programs is limited and therefore their interests in this

area will vary from institution to institution. Obviously, depending on the source of support of the institution, the priorities of the governing boards will vary. Institutions that are privately supported will have more interest in fundraising and tuition levels whereas institutions receiving public support will have much stronger interest in relations with the state legislature.

Among factors affecting the governance in public institutions in the 50 states is the development of some form of a state coordinating agency or a board of regents that has various degrees of authority and responsibility for all the public institutions within the state.

Significant policy decisions concerning the direction of higher education involves the individual governing boards, state agencies, state legislatures and the federal government. The federal government's primary role has been to provide substantial funding for individual students to assure equal access and remove discrimination on the basis of race, sex or economic deprivation. The federal government has also given some direction to higher education priorities through categorical support by funding various areas of research, biological and scientific, and by special funding for specific issues such as improving research libraries and foreign language education.

Within the institutional structure, the Chief Executive Officer, an individual with academic credentials, is normally called the President or for some institutions, Chancellor. Under the President is a number of officers including usually Vice-Presidents for Academic Affairs, Student Life, Business Affairs, Development (this

is fundraising), and Research. Depending on the size of the institution, there may be additional Vice-Presidents or there may be fewer.

Within this typical structure, normally, the Vice-President for Business Affairs will be responsible for the budget, accounting, personnel, physical plant, investments, real estate, residence halls, and food service. The Vice-President for Student Life will normally be responsible for the Dean of Students, the Registrar, Admissions Office, Student Aid and Counseling. Frequently, some of the functions of the Vice-President for Finance or the Vice-President for Student Affairs will vary, for example, residence halls and food service may be under the Vice-President for Student Affairs. Academic programs and academic departments, and the library normally report to the Vice-President for Academic Affairs. This is the general organizational structure within which educational institutions operate in the United States.

Current problems in higher education in the United States can be briefly summarized and have already been suggested. I surmise that they are similar to current issues facing the members of this conference:

1. The declining birthrate causing an anticipated decline in enrollment in the mid-80's.
2. Increased external governance either by state legislators, state coordinating commissions or the federal government in establishing rules and regulations that affect management operations. Many of these external influences affect the

policy mission and goals of the institution. There is more and more involvement which affects internal management operations.

2. Accountability. This relates to external governance. Institutions are under increasing pressure to be accountable both for its academic programs and its general operations.

4. Financial viability. Education no longer has the highest priority and therefore it is more difficult to obtain funding from state legislators and to obtain gifts from donors. It is increasingly difficult to raise tuition to meet the deficit.

5. Inflation, the greatest deterrent to financial health in American institutions.

6. Burden of state and federal regulations. The need to meet increasing regulations on environment, social issues, and affirmative action for minorities, women and handicapped. The need to respond to other socially mandated programs, social security, occupational safety, and environmental protection have greatly increased our costs and administrative burden. Again as related to accountability, we are being required to prepare more and more analysis and reports to conform to external regulations.

7. Deferred maintenance. By deferred maintenance we refer to the fact that much of the physical facilities of institutions in the United States were constructed since 1946 and are beginning to definitely show signs of wear and deterioration. There has been inadequate funds either set aside or made available to maintain the plant in a healthy condition.

This has been a summary overview of financing control structure and current issues facing higher education in the United States. As administrators, I believe we have never faced such challenging management issues, but I have great confidence in our ability to cope with them.

PAPER 4

CUA EDINBURGH 1979

CANADIAN EDUCATION: PROBLEMS AND PROSPECTS

P Bartram, Registrar, Brock University, Ontario, Canada

I have been asked to try to put into a Canadian context some of the remarks and problems outlined by Cliff Sjogren, Stan Berry, Mickey Finn and Ed Ryan during the past two days. There are many similarities in the problems now being faced in Canadian education to those in the United States and I suspect, if not at present, that will be in the near future in the United Kingdom. When people talk about a Canadian system of education, it may be a fair assumption that they really don't know what they are talking about. This is because there is no such thing as a Canadian system of education and Canada is one of the few countries in the world that has no federal ministry of education. There are ten provincial systems and then a series of direct federal government services including Education of Native Peoples, the Yukon and the North West Territories. The CUA study group that went to the United States referred to the separation between federal and state authorities in the United States. This separation is a reality in Canada and constitutionally, under the British North America Act, the federal government has no place in education. Although this political separation does give us a lot of problems, and I'll be talking about some of these in a few minutes, there are some anomalies. For example, there is no problem distinguishing between education and training in Canada, because education is something handled by the provinces and training is handled by the federal government. Because of this, there exists a huge, in fact I believe the largest, adult education programme in the world which is conducted by the federal government under the guise of Occupational Training. The dominant problem in Canada today, as in the U.S., is declining enrolment and all the problems especially declining finances that go with this. There are all kinds of statistical studies which, looking at the 18 to 24 year old cohort, show an increase until 1984 and then a steady decline. In fact, university enrolment in Canada decreased in 1977, 1978 and another decrease is predicted for 1979. My own institution has been quite severely affected, with a 5.4% decline in course registrations in 1977 and 9.7% decline in 1978. One thing I can assure you of is that this declining enrolment and fewer students has not lessened the workload in the registrar's office. We have far more students taking less of the full-time load and we now process more applications for admission for every student finally registered. Several factors have been suggested for this decline, one of course being the relationship to the general economic conditions.

One other large factor in Canada is the growth of the community colleges. While these colleges vary in nature across the country, there were eight in 1965 and 101 today. One interesting fact is that the colleges seem to be benefiting from declining enrolments. It is estimated that 36% of the entrants to the community colleges in Ontario in 1978 were fully-qualified for university admission. (Although the colleges requires only completion of grade 12, universities require completion of grade 13 for admission.) The declines have not been uniform, and the arts and sciences have been particularly hard hit while professional schools are still experiencing overcrowding and excessive demand. So the combination of declining enrolment economic pressures, particularly in the job market, has resulted in students entering post-secondary education who are primarily concerned with employment prospects. This has meant that the arts and sciences in the universities have taken the brunt of the decline and that the expectation that students who could attend university would not attend a college by choice has not been borne out. If this pattern were repeated in the U.K., it may be that the universities would suffer more from declining enrolment than the polytechnics, especially universities that are essentially arts and sciences.

One of the problems of declining enrolment is an aging faculty. The majority of faculty in Ontario universities are relatively young, having been employed in the 1960's era of expansion. This makes it extremely difficult for recent graduates and scholars to enter the field. It also makes it very difficult to change faculty and respond to demand because of tenure. While Brock University is primarily an arts and science university, we do have schools of Administrative Studies, Education and Physical Education. The demand, particularly for Administrative Studies, is growing rapidly but it is difficult to hire the necessary faculty because of an overload of tenured faculty in some arts and science departments. The Faculty Association have negotiated that the University would have to declare a financial emergency before tenured faculty can be declared redundant. This, of course, the University is reluctant to do because of the resultant poor publicity and possibly even more negative effect on enrolment. One thing that all this points out is a lack of planning which unfortunately is characteristic of the Canadian educational system. In 1978 the OECD examiners made the following comment:

> Until now Canada has experienced predominantly unplanned development. Its abundance of resources and rapid economic growth have provided an automatic guarantee of collective material gains, and most Canadians have been able, too, to improve their material position rapidly and significantly. Really serious political or economic crises have been few, and there has hardly been occasion to dramatise such problems as do exist, given that they do not present themselves as really serious. This comparatively fortunate situation has obtained especially in matters of educational policy.

> What my seem to non-Canadians to be "intolerable" modes of operation are not only tolerated, but accepted happily by most Canadians, because in spite of these modes of operation, they feel (not without justification) that most things to date have gone along quite well. This explains, too, the sketchy, still somewhat unreflective attitude to the rationale and goals of educational reforms, which are nevertheless put through with energy.

Consequently, one of the other reactions to declining enrolments has been a scramble to "plan" in response to pressures of fewer students and fewer dollars.

Another pressure on Canadian universities is the very low place that research and development enjoys in the Canadian economy. Only 0.9% of the GNP is spent on research, the lowest of seventeen countries surveyed by OECD, falling behind even Turkey. Research in universities is heavily supported by federal government grants which tend to decline in periods of economic recession.

The lack of a federal government ministry of education causes some problems, particularly in dealing with other countries. Although I have stressed that the federal government has no role in education, in fact there are many government departments that do play a major role in education. Perhaps the most important is Statistics Canada. Within Statscan, as it is commonly called, there is an Education, Science and Culture Division. The director of this Division, currently Geoffry Holmes, is probably the most significant federal government official involved in education. Statscan produces many excellent reports and produced most of the statistics upon which I have based my paper.

The Secretary of State's Office plays a large role through financing of bilingual (French and English) programme and through administration of the Social Science and Humanities Research Council of Canada. The National Research Council is the most important source of research funds for the natural and physical sciences in Canada. The Department of Manpower and Immigration plays a major role through the administration of the Occupational Training of Adults Act. The adult education programme administered through this Act is a significant part of the post-secondary sector throughout the country. An example of the kind of problem faced through the lack of a federal ministry of education is the current programme for Nigerian students. When the Nigerian government attempted to set this programme up, they refused to deal with provincial ministires, since they were a federal government. The provincial governments refused to allow the federal government in Canada to act on their behalf. Finally, a non-governmental organisation, the Canadian Bureau of International Education, was set up to act as broker for this programme and handle all the arrangements with the federal government.

The professional association situation in Canada is, as may be expected, somewhat confused with provincial associations often being more powerful and active than national associations. This is not really surprising, given the size of the country and the cost of travel within Canada. One problem with non-governmental and professional associations in Canada is that they are split between degree granting and non-degree granting institutions. Probably the best known Canadian body is the Association of Universities and Colleges of Canada (AUCC). In spite of the title, this Association represents only the degree institutions. In spite of this, the Association of Registrars of Universities and Colleges of Canada (ARUCC), an affiliate of AUCC, permits membership and in fact encourages membership from all post-secondary institutions. Another group is the Canadian Association of University Business Officers (CAUBO) who are concerned mainly with financial, physical plant and personnel matters. Again, this group is an affiliate of AUCC but membership is restricted only to universities and degree granting institutions. When the Department of National Revenue introduced a new tax certificate which caused all institutions a tremendous amount of work, it was done without any consultation whatsoever with educational institutions. The argument of the Department of National Revenue was that they could not find a single association that would represent all institutions in the post secondary sector. After some months of negotiations, they have finally agreed to deal with ARUCC, since this is the only group with both college and university representation. Other associations in Canada are the Association of Canadian Community Colleges and the Council of Ministers of Education. Anyone interested in visiting Canada should contact the provincial associations who, in most cases, will be more useful than the national groups.

There are other problems and concerns faced by Canadian registrars that are not, as yet, those of my colleagues in the U K. In my particular institution we face competition from U S institutions just across the border. This causes problems since these U S institutions are not subject to the same "quality control" as we are and able to respond to demand very much more quickly. The world "marketing" is coming into use more and more in North America. There is almost inevitably a presentation on this topic at any professional meeting and of course there are private companies in this field offering expertise to institutions interested in attracting more students. In Ontario the Council of Ontario Universities now has a committee to establish acceptable procedures and ethics that can be used in student recruitment. The part-time mature student is now playing a much more important role in post-secondary education, with many institutions seeing this sector as growing to compensate for the decline in "traditional" students. And, of course, as I mentioned in the introduction, the growth of junior and community colleges is one of the most significant developments that has occurred during the last ten years.

The relationship between these colleges and universities has changed considerably over that time and is a subject that will form the basis for much research in the future.

Overall, perhaps the outlook for Canadian universities can best be stated by quoting from the 1978 review published by the Council of Ontario Universities under the title of An Uncertain Future. This document reflects on the current state of Ontario universities and their prospects for the future, and concludes:

> 'The keynote of these reflections is uncertainty: uncertainty over finances, over enrolment, over staffing, over the structure of the system, but above all uncertainty over the role and place of universities in society.'

CUA EDINBURGH 1979

THE ORGANISATION OF AMERICAN ASSOCIATIONS OF UNIVERSITY ADMINISTRATORS

D F Finn, Executive Vice-President, National Association of College and University Business Officers (NACUBO)

Seminar II

I welcome the opportunity to participate in this seminar on the "organization of American Associations and Administrators in the United States". As Americans have been described as joiners, the same pattern follows in higher education in which we have the usual proliferation of organizations, all very worthy and meeting specific needs. I will not endeavor to go into the history of what caused these associations to be created but only to discuss the present structures and relationships. In Washington, D. C. at One Dupont Circle, there is an eight story office facility called the National Center for Higher Education in which is housed a number of the major associations. Many associations have their headquarters in other facilities in Washington, and some represented on this panel, have central headquarters located in other cities within the United States.

First of all, I should remind you that there are approximately 3,000 institutions in the United States. Many of these are downtown campuses or branch locations of main institutions or three facilities in one city. Therefore, a more accurate profile would be around 2600 uniquely different institutions. They range from very small seminaries, highly specialized institutions such as law schools or medical schools to large complex institutions. We do not include proprietary schools, which are for profit and mostly serve specialized programs such as secretarial training, auto mechanics and other crafts and trades.

Among the associations, the American Council on Education has been described as the umbrella organization and is supported by membership dues

and substantial funds from foundations. The American Council on Education exists to promote the public interest. Its mission lies in extending the range and quality of postsecondary education in the United States. The Council cooperates with all similarly committed institutions and associations, both here and abroad. To work toward these and allied ends, the Council devotes its energies to:

- cooperating with other education associations
- interacting with government officials and lawmakers
- informing its membership and the public generally about matters that directly affect the future of postsecondary education
- performing research and publications functions that inform the policy discussions of the present and the future
- providing a forum for committees and commissions that deliberate on important educational issues
- opening new chances for young people and adults to find academic recognition for learning that takes place in nontraditional settings
- fostering leadership-development programs aimed at increasing the sophistication and ability of those who will guide postsecondary education in the future

There are a number of associations which represent specific types of institutions. One group represents agriculture and engineering colleges called the Land Grant Association. Other groups represent community colleges, state colleges and universities, private colleges, catholic colleges, Jesuit colleges, urban, and a series that represents the more specialized interests of medical and law schools. These are all primarily presidential focused organizations. Moving from the presidential level, there are two major categories of associations, those that represent management or administrative areas and those that represent academic disciplines.

In the first group are organizations that represent student service areas such as admissions, registrations, student-aid and business functions

and these are mostly institutional memberships.

In the second category are organizations which are discipline and/or individual oriented and would include physics, modern language, engineering etc.

I plan to discuss only the groups within the business area. There are at least 20 associations that represent various specific interest:

American Association for Affirmative Action
American Association of Collegiate Registrars and Admissions Officers
Association of College and University Auditors
Association of College and University Housing Officers
Association of Physical Plant Administrators
Association for Institutional Research
Association of American Medical Colleges
Campus Safety Association
Canadian Association of University Business Officers
College and University Personnel Association
CAUSE
Council for Advancement and Support of Education
International Association of College and University Security Directors
National Associations of College Stores, Inc.
National Association of Educational Buyers
National Association of College and University Attorneys
National Association of College and University Food Services
National Association of College Auxiliary Services
National Association of Student Financial Aid Administrators
University Risk Management and Insurance Association

About six of these associations have full-time staff. Two or three have part-time executives and the rest operate solely with volunteers. Each one of them typically holds an annual meeting, prints a newsletter or magazine and offers professional opportunities for the interchange of ideas in management problems within the specific professional area of interest.

The association of which I am the chief executive officer is the National Association of College and University Business Officers. Its goals are stated as follows:

- To represent colleges and universities by

  . reflecting their management and financial interests at the national level;

  . serving as an information resource on management and financial administration in higher education;

  . projecting to the federal government their needs and concerns to the extent that government programs affect management and financial administration;

  . providing leadership in activities related to the principles and practices on which management and financial administration are based.

- To gather information that will assist in the management and financial administration of colleges and universities, and to stimulate research and the development of sound practices in these fields.

- To disseminate information related to the management and financial administration of colleges and universities by providing information

  . that relates to the principles on which management and financial administration are based;

  . that is of a practical nature and assists in day-to-day institutional operations;

  . that increases awareness of current issues in higher education;

  . that reports on results of research and efforts to develop sound practices in these fields.

- To provide opportunities for basic and advanced training, career development, skill improvement, and other forms of professional growth in management and financial administration in higher education.

- To foster a spirit of cooperation among organizations with common interests in management and financial administration of higher education.

We have over 1800 institutions within our membership. We are larger than most of the other business associations and our activities therefore, are

more comprehensive but I believe a review of what NACUBO does will be illustrative of the general role of the associations in the business goals area.

We are supported by annual dues from each institution which ranges from $200 to $1375. Our finances are 40% from dues, 40% from the sale and fees from publications, workshops and other services. The balance of 20% is the result of grants from the federal government and foundations. We hold an annual meeting with more than 600 individual registrants. We conduct a number of workshop programs every year, usually on five to seven different subjects, conducted at four to six locations around the country, with an annual total registration of more than 1700 individual business officers. In the publications area, we distribute a monthly magazine that is directed toward current issues and includes some in depth articles. We publish monographs from time to time on specific management issues such as cash management, accounting, investment policies and procedures, planning, and management reporting, and reporting to Trustees. We have published a comprehensive manual on college and university administration. We have a federal relations staff which works with the federal government on all the management issues particularly related to the impact of federal relations and more specifically with the management of federally sponsored programs on university campuses.

We have established a financial management center with a staff of two that gives its attention to various management issues that need research and development in areas of costing, accounting, budgeting and reporting. We do developmental work in areas that can be of assistance to the member institutions. We presently have a staff of 39 people.

We have 13 major committees:

Accounting Principles Committee
Financial Management Committee
Energy Task Force
Facilities Planning and Management Committee
Insurance and Risk Management Committee
Investments Committee
Minority Institutions Committee
Personnel Committee
Postal Regulations Committee
Programs for Small Colleges Committee
Student Related Programs Committee
Taxation Committee
Two-Year Colleges Committee

Our governing structure is a board of directors composed of 15 members. They are elected by the four regional associations which are legally separate entities but as one of their functions nominate and elect the national board. Membership in the association is by institution. The board of directors has a president and other officers and meets four times a year to establish NACUBO policy and approve plans and budget.

I should mention that there are a number of professional activities in progress that are not directly under NACUBO but that improve the profession. Each summer in three sections of the country, on college campuses, there are conducted one week institutes providing basic knowledge and skills for the business officer. Each of these programs has three levels which can be taken in succession over three different summers and are designed primarily towards the newer business officer or younger staff member in a specialized area who needs to be exposed to the broader management implications and issues with which to be concerned. Harvard University conducts a six week institute called the "Institute for Educational Management" which is made available not only for business officers but all those interested in management in institutions. In addition, at Stanford University, there is a more specialized two-week summer institute designed for business officers who are senior administrators.

The four regional associations discussed earlier are also engaged in conducting one or two day workshop programs on specific current management issues.

This is an overview of NACUBO. We have had a national office with a paid staff for ten years. We started with a small staff of two and have now grown to the present staff size of thirty-nine. We have been successful and have become a very needed service demonstrated by a continuing growth in membership. The reasons for this:

1. The philosophy of the national office is to serve the business officer in meeting his institutional needs at his desk at his campus.
2. The explosion of the impact of federal regulations related to societal goals such as environmental protection, social security, and affirmative action have required that institutions receive current, and accurate information as to how to respond to these regulations. At the same time we have needed a voice in Washington familiar with the management problems to work with the federal establishement to try, to the extent possible, to assure that the regulations are designed to meet the management problems of higher education.

Our membership has had belief in what we are doing and provided the necessary financial support through dues increases. Therefore, we have been able to have sufficient staff to interface with federal officials and respond to federal regulations. We have been able to provide the presidential associations with more quantitative, precise, management responses to problems that must be coped with at the national level. We

have come to be recognized as the responsible and dependable voice of the business management of institutions and therefore are looked to more and more by not only the federal government but by many other organizations concerned with financial problems in higher education. We have established our own research group called the Financial Management Center. We have found that this group is being called upon more and more by other analysts and researchers who are addressing higher education financial problems to use our expertise. The results are that, whereas in earlier years innovative, and developmental programs frequently were on tangential tracks and did not recognize the underlying management requirements, the current efforts have been influenced by our work and are producing results more useful to higher education.

A national office with paid staff can provide support services to the volunteers, with a multiplier effect for the critical work of the volunteers in identifying problems, developing issues, providing monographs, writing articles, serving on advisory committees and encouraging progress and development in all the management areas that affect higher education.

In my view, management problems in higher education are similar to the commercial world but have their own uniqueness. These types of management problems have been given little consideration in professional literature by scholars of management and by institutions themselves in the courses they teach in management and finance. Through NACUBO we are more and more focusing attention on the many management issues in higher education which must be dealt with and, hopefully, we are advancing the state of the art and knowledge in useful ways to assist in the management of higher education. For example, ten years ago, there was almost no

literature on the management of higher education whereas now our body of knowledge and publications increase year-by-year.

The opportunity for an association to offer much more than fellowship through the exchange of ideas, the identification of issues which must be addressed, and the development and advance of the state of knowledge is an overall goal and task of NACUBO on which we have made much progress, although we are far from completely successful.

CUA EDINBURGH 1979

THE PROFESSION OF HIGHER EDUCATION ADMINISTRATION

Rev. E G Ryan, S.J., President, American Association of University Administrators (AAUA)

I. The Professions

What is a profession and how does higher education administration qualify to be such?

- Work is usually divided into
  - Manual
    - work with hands
    - farmer, technician (plumber, carpenter, etc.)
    - non-manual
      - Usually intellectual
        - white collar workers, lawyers, teachers, etc.
- Some non-manual work are known as professions

Dictionary defines "profession" by presenting a mosaic of characteristics that include

(a) Concerned with public service;

(b) requiring special educational preparation;

(c) requiring continued updating to keep up with advances in the field

(d) possessing a statement of expected standards or code of action

(e) having the capability of self-policing re observance of the standards or code

- The dictionary and history show an evolution of the use of the term "profession"
  - originally confined to

    medicine, law, ministry and teaching

- e.g. medicine
  - "public service" is healing and maintaining health
  - educational preparation - post-baccalaureatetraining (courses, exams, etc. and "internships," etc.)
  - professional seminars for updating physicians; professional journals to communicate new knowledge and discuss issues
  - "Hippocratic oath" - one of earliest codes of professional ethics; spelled out in later years by more extensive regional, national and international codes
  - self-policing - medical boards or medical societies that license persons to "practice" medicine ; those boards and societies also discipline practitioners to and including revocation of the license to practice medicine
- Can see same in law, ministry (theology or clergy) and teaching
  - though in teaching, especially in the U.S. there is a world of difference between teachers in elementary and secondary schools and teachers in colleges and universities
- In evolution of the term, "profession," beyond these four traditional ones
  - "public service" was the key
  - meant what these persons did was necessary and useful for the success of society
  - called for dedication of person to the success of society even at expense of self

- thus today architects, engineers, accountants and others are considered "professionals" and architecture, engineering and accountancy are considered "professions"
  - planning buildings, roads and dams requires that the public, not profit, be served - the same regarding judging the honesty and the exactness of financial transactions: one is accountable to the general public not to the one who pays the accountant
- though do look for other parts of the mosaic of profession
  - is specialized training required?
  - is continuing education and development required?
  - is there a code of professional standards?
  - is there a group that interprets and enforces the standards?

Summary of <u>first</u> part:

- Among non-manual work occupations, some intellectual ones are called "professions"
- they fit a mosaic of five categories
- medicine, law, ministry and teaching were the four original ones
- the application of the term "profession" evolved
  - now include architecture, engineering, accountancy, etc.
  - criterion of "public service" is main criterion looked at in extending the term, "profession," to other occupations
  - but other 4 criteria must also be present before the occupation is recognized as a "profession"

II. The Profession of Higher Education Administration in the United States and the Origin and Function of AAUA

1) Something very much American in Origin

(a) Re Method of Origin

- came from within higher education
  - 8 administrators at the State University of New York at Buffalo
- it was not imposed by outside forces
  - in some nations could have been imposed by government involvement in or control of all education, including higher education
  - at some other times in history, it could have been mandated by religious authorities where the Church controlled education
- it was a voluntary associating or coming together of persons who were dedicated to professionalism in the administration of higher education and concerned about the contemporary stresses and strains that were buffeting campuses in those days

(b) re Condition of Origin

- U.S. in November 1970
  - Vietnam War (Cambodia and Kent State were in May 1970)
  - II-S deferments for full-time student had allowed some to climb college hill, as others clawed way up Hill #235 in the Anchau Valley
  - Had given way to the lottery
    - #4 in 1970 sent you to Nam; #1 was 300 and you were safe to stay at home

- 1965 free speech movement at Berkeley
  - students no longer quiet
  - used tactics learned in support of civil rights movement
    - confrontation
    - passive resistance (carried to jail)
    - winning the uncommitted and the spectators by predictable overreaction of authority
- 1965 - 1972 Vietnam War Protests
  - same strategy as free speech movement
  - sit-ins in offices of Deans, Vice Presidents, Presidents of Colleges
  - reaction of police, or National Guard
    - tear gas, billie clubs, paddy-wagons (overreation!)
  - division of campuses
    - students vs administration vs faculty
    - senior vs junior faculty
    - humanities and social sciences vs business, natural sciences, engineering
  - disruption of campuses
    - firebombing of ROTC facilities
    - raids on Computer Centers, records, offices, financial offices
    - disruption of classes, especially those of professors judged "rightist" or "fascist."
    - sit-ins in offices of administrators

- The U.S. campus had become politicized
  - used as an instrument to achieve political purposes - "End the War!"
  - traditional purpose of college or university in U.S. - teaching, learning, research, public service seems eclipsed

(c) Traditional View of Higher Education

- Traditional View of College and University
  - a collegium, a guild, a community where junior members, students, worked under tutelage of senior members, faculty,
    - to transmit knowledge and traditions
    - to discover and transmit new knowledge
    - to do public service
    - to operate as such, all had to agree to same postulates, presuppositions and premises
      - agreed on mission of institution
        - centered on wisdom, led to role as social cr[illegible] to suggest reasoned ways to change but left action, [illegible] political action, to others
      - agreed on principles and procedures of conduct
        - rested on expected civility, "the rule of reason," disagreement without hatred
  - Between 1965-1970 that view fell apart in the United States
    - triumph of a cause ("End the War")
      legitimized all action
      ("War is the greatest evil; any means to end it are legitimate because they are less evil.")

- the establishment had mounted the war;

"the establishment is evil and must be destroyed"

- colleges and universities, esp. Trustees and administrators, are part of the establishment and should also be swept away
- the "rule of reason" and expected civility are clever means, imposed by the establishment to prevent change
  - these rules cannot be followed
- hatred is a legitimate feeling against those who either directly or indirectly continue the war in Vietnam

- While this was the most prominent current on campus in the United States, other currents were there also, e.g. concern for rights of minorities; debate over governance of institutions; concern for rights of women
  - Time constraints don't allow me to analyze them
- Colleges and universities were unprepared to meet this challenge to their mission, their role and their rules of social interaction
  - had no experience in similar situations
  - appealed to authority beyond the campus to control violence: to
    - government and police
    - National associations for campus groups that had such

(d) Response of Administrators

- 8 persons at University of Buffalo who were administrators there saw situation
  - saw professors had group (AAUP)
    American Association of University Professors
  - saw students had group (NSA)
    National Student Association

- saw trustees had group (AGB)
  Association of Governing Boards
- saw administrators had no umbrella group
  - had CUPA, AACRAO, NASPA, AASFAO, AAPGA, etc:. each group for only one type of administrator

2) American Association of University Administrators (AAUA)

(a) AAUA's Basic Operational Principles

- Discussion in November 1970 revealed that
  - AAUA didn't want to turn clock back to the 1950's when "faculty taught, students studied and had fun and administrators ran the place."
  - didn't want to form an organization that could seek recognition as a bargaining unit on campus for administrators
- saw that, as a labor union the Association would not be able to include the top echelon of administrators (Presidents, Provost, Vice Presidents and Deans)
- yet needed such people in framing and overseeing the creation and evolution of the Association's policies and procedures
- did want to remove one of biggest problems of 1970
  - confrontation
- believed that the Association must take an "advocacy position"
  - advocate the best interests of higher education
  - this "advocacy" would be performance of a public service

- but
  - believed the Association should not take an "adversarial position"=
    - such would be a continuation of or a return to confrontation
    - adversarial relationships are true of law courts but courts should be the action of last resort
    - advocacy of the best interests of higher education permitted
      - collegial relationships
      - reasoned approach to problems
      - room for compromise by both parties to any dispute

(b) Basic Insight

- The 8 founders of AAUA had a basic insight that started this Association and is central to its existence and operation
- the administration of higher education is a profession
- administrators in higher educationare professional people
- In addition: the profession of the administration of higher education is a profession separate from that of the teaching profession

As proof -

- higher education is recognized as a piblic service
  - this is the reason for alloting vast sums of tax money for provision of higher education and for the status of colleges and universities as "tax exempt" institutions

- participation in higher education as a faculty member or administrator requires special training and continued up-dating or professional development
- At one time all administration in higher education in the United States was handled by full-time teachers as part of their regular faculty duties - administration was part-time
  - if we go back far enough, we have this description of President Timothy Dwight of Princeton in the eighteenth century - it went from ringing the rising bell at 5:00 a.m., to milking the cows, marching the students to chapel and to breakfast, to teaching Greek and Latin to preaching for an hour in the chapel to the students, to supervising games and study hall, to ringing curfew bell and making sure all were asleep by 10:00 p.m.
  - that era is dead
  - if it didn't die due to the expansion of knowledge and student numbers during the 19th century it is certainly dead today due to the same and larger explosions in the 1960's and the addition of vast federal programs accompanied by the vast web of federal regulations and paperwork
    - any President of a U.S. college and university unless he has had some years of experience in that office who attempts to fill out a federal student aid questionnaire without the advice of a student aid officer and a quick check by the institution's attorney is asking for a sabbatical - courtesy of the

the U.S. government - to be spent in a federal prison

- Administration of higher education no longer can be performed by full-time faculty
  - it requires special training
  - it requires frequent updating

(c) Provision of the Missing Links

- The 8 administrators at Buffalo and those who joined them subsequently realized
  - THERE WAS NO CODE OR STATEMENT OF STANDARDS RE ADMINISTRATORS IN HIGHER EDUCATION and
    THERE WAS NO MECHANISM FOR SELF-POLICING
- AAUA decided to supply both needs
  - it would draw up a statement of "Professional Standards for Administrators in Higher Education"
  - it would create a mechanism to deal with complaints or grievances based on this statement
  - thus it published a provisional statement in 1972 and a revised statement in 1975
  - I was one of the principal authors of the 1975 statement
- thus it formed a Committee on Standards and Review
  - I was the Chairman of that Committee from 1973-1975 and since 1977 again chair that Committee
  - Standards and Review Committee processes "requests for assistance" or "grievances" from administrators in relation to our Standards Statement

Summary of second part

- Origin of AAUA very much in American tradition
  - not imposed from outside higher education
    - neither by State or Church
    - arose within context of 1970
      - Vietnam War and convulsion of U.S. campuses
      - politicization of U.S. campuses
- Traditional view of U.S. colleges and universities
  - a collegium
    - agree on mission, role and rules of social interaction
    - almost complete splitting of this harmony by 1970
- AAUA's Basic Operating Principles
  - No turning back of clock to 1950's
  - rejection of possibility that it become a labor union
  - desire to "advocate" best interests of higher education (not advocate "administrators" per se)
  - rejection that AAUA become adversarial re institutions (colleges and universities)
  - AAUA's Basic Insights
    - administration of higher education is a profession separate from that of teaching
    - to be recognized as a separate profession the administration of higher education lacks two necessary characteristics that AAUA will provide:
      - a code of ethics (hence AAUA's "Standards")
      - a self-policing mechamism (hence AAUA's Standards and Review Committee)

CUA EDINBURGH 1979

PROFESSIONAL ASSOCIATIONS IN THE USA

S Berry, Past President of the American Association of Collegiate Registrars and Admissions Officers (AACRAO)

The United States is a land of associations, organizations, committees, task forces, and other groups aiming to improve the quality of professional services and the quality of professional life of their members. One can look at nearly every facet of professional or semi-professional activity in the United States and find associational activity available on a volunteer basis. In the field of education, nearly every specialized professional activity has one or more professional groups available to the practitioners. Persons involved in the awarding of federal, state and institutional financial aid to students have several organizations available. Persons involved in career development and job placement have their associations. Persons concentrating in the area of the admission and evaluation of foreign students have the National Association for Foreign Student Affairs. University medical administrators, university counselors and, of course, university professors as a group, in addition to professors involved in each of the many disciplines have banded together for group strength and enrichment.

The association about which I will talk most is the American Association of Collegiate Registrars and Admissions Officers, the one Cliff Sjogren and I represent on our visit to your Conference. We are, however, both members of a number of other professional groups directly associated with those activities which fall into the area of responsibility of directors of admissions at major universities.

AACRAO boasts of a membership of 2,000 institutions, which are represented by over 6,500 individual members. Like many professional associations, AACRAO membership comes through the institution for which one works. Individuals may not be regular members of the association except as they represent their respective institutions. The association maintains a central office in Washington, DC, -- not because Washington is geographically central to the members of the association, but rather because it is central to the U.S. governmental activities -- activities which are so important to institutions of higher education.

The office opened nearly 15 years ago when it became obvious that if the association was to be of great benefit to its members, it could do so only by having a full-time paid staff to represent its interests and to carry out day to day activities. The office is headed by an Executive Secretary, who, is in turn aided by one professional assistant and a clerical staff. The administration of the association is carried on by a volunteer elected group of active professionals who compose an Executive Committee. The officers of the association include a president, president-elect, immediate past president, secretary/treasurer and five vice presidents representing the professional areas of admission and financial aid, international education, registration and records, data management, and regional associations. All members of the Executive Committee serve for a three year period. The president-elect automatically ascends to the presidency and the past presidency, giving a three year tenure for that officer as well.

The professional activities of the association as carried out under the direction of the vice presidents who each administer the activities of four or more professional committees which operate in their professional activity areas. Members of the committee are selected annually by the president-elect and may serve three consecutive one-year terms. Attention is given not only to the expertise and motivation of prospective committee members, but also to the representation which they may provide from the standpoint of geographic region, institutional type, sex, ethnic origin and other factors vital in bringing about balanced participation in the organization.

Because no association can operate by itself, great attention is paid to maintaining close ties with other associations, whose central interest is in post-secondary education. Over 40 interassociational representatives are appointed to represent AACRAO in liaison positions with government agencies and companion associations. The activities of AACRAO have become increasingly costly through price inflation and the growth of associational activities.

As you will see in the attached budget summary, the association is basically financed through the levy of membership dues which vary according to the student enrollment at the member institutions. Larger institutions pay larger dues and in turn are authorized a larger number of official representatives. The association treasury is also fed in part by government grants to carry on specific professional activities. For instance, a grant of $70,000 per year is given to the association for the publication of books in the World Education Series, books which outline the educational systems in foreign countries and offer suggestions for the admission, evaluation and placement of students entering U.S. institutions from those countries. Since the early 1960's over 60 such publications have been printed and distributed by AACRAO with the help of the government grants through an arm of the U.S. Department of State.

Much of the AACRAO budget is expended on publications of a professional nature which will assist the members of the association in carrying out their daily activities more efficiently and more to the benefit of the students attending post-secondary education institutions. AACRAO publishes a quarterly professional journal, a quarterly newsletter, an association directory, special publications dealing with the requirements for adequate transcripts, desirable policies for the retention of records, guides to coping with government regulations concerning the privacy of student information, efforts to aid handicapped persons seeking education and veteran's who have special educational needs. Perhaps the most ambitious publication project in the history of the association is about to become a reality, with the publication of an AACRAO handbook for registrars and admissions officers. It is anticipated that this book will become a dynamic guide for all persons engaged in our profession.

Apart from the American Association, yet at the same time a part of the American Association, are 29 regional associations, some representing a single state, some representing a large collection of states. Geographically the largest association is the Pacific Association which represents 11 western states including Alaska and Hawaii, the two neighboring Canadian Provinces of British Columbia and Alberta and the Pacific trust territory of Guam. Each of these associations operates independently from the national group, yet cooperates closely with the national group and maintains constant liaison through the vice president for regional associations. Each year at least one member of the Executive Committee attends the meeting of each regional association.

In general, those persons who distinguish themselves with outstanding activity in their regional association are drafted into activity with the national association and those that demonstrate particular motivation and aptitude for leadership are elected into the leadership roles at the national level.

Many other patterns of association organization exist, I will mention two more specifically. The National Association for Foreign Student Affairs provides for both individual and institutional membership. It is divided, for professional activity purposes, into five professional interest groups. The Admissions section, the Association of Teachers of English as a Second Language, the Council of Advisors to Foreign Student Scholars, the Community section and a section on U.S. Students Abroad. While a member may affiliate with one or more of these sections, usually ones responsibilities will align him with a single section. Each section has its own elected officers and supplies representation to the governing body of the national association.

In the geographical sense, NAFSA is divided into 12 regions covering the United States. Each of these regions in turn has its own association with the same five professional interest groups. Each region carries on professional activities in close liaison with the national association.

From an administrative standpoint, NAFSA is aided through the services of five commissions which develop policy proposals and formulate plans of action on matters of concern to all of the professional interest groups. They are: the Commission on Information Services, the Commission on Liaison, the Commission on Policy and Practice, the Commission on Professional Development, and the Commission on Representation. The association naturally has a number of additional committees dealing with special problems.

Colleges and universities form the basic membership group, however, NAFSA offers membership to both U.S. and foreign students, a policy not common among professional associations.

To carry out its role in international education, NAFSA provides professional training and information through national and regional conferences, workshops, publications, and consultations, develops effective communication with government agencies and with public and private organizations, both domestic and foreign, supports research and development projects, issues numerous publications and reports in the field of international education exchange, including the NAFSA Newsletter and NAFSA Directory for institutions enrolling foreign students, and provides a forum through publications, conferences and workshops for the presentation of new concepts and research in the field.

NAFSA maintains an office in Washington, D.C., headed by an executive vice president and staffed with professional assistants and accounting and clerical personnel.

Another more complex organization is the American Personnel and Guidance Association. This association is made up of 40,000 members representing the U.S. and 50 foreign countries, is divided into 13 national divisions and has four regional branch assemblies and 53 state branches.

The variety of national divisions includes the American College Personnel Association, the Association for Counselor Education Supervision, the National Vocational Guidance Association, the Association for Humanistic Education and Development, the American School Counselor Association, the American Rehabilitation Counseling Association, the Association for Measurement and Evaluation in Guidance, the National Employment Counselors Association, the Association for Non-White Concerns in Personnel and Guidance, the Association for Religious and Value Issues in Counseling, the Association for Specialists in Group Work, Public Offender Counselor Association, the American Mental Health Counselors Association.

State branches operate in each of the 50 states, the District of Columbia, Puerto Rico, and a European branch. Regionally it is divided into North Atlantic, Midwest, Southern, and Western regions. As with most groups, APGA maintains a Washington office.

Affiliation with the Association is a matter of individual membership and students are eligible to become special members under restricted circumstances. The Association is governed by an elected board of directors and senate and operates through committees on government relations, professional preparation standards, licensure, international affairs, human rights, and womens rights.

Some associations, most notably the College Board and the National Association of College Admissions Counselors seek members from both higher education and secondary education. Their activities generally center around the problems of student transition from high school to college or university.

While these are typical of the vast array of associations, one will find almost as many variations of organizations as there are associations. Each association has developed a pattern of operation out of the timing of its development and the needs of its membership.

Capping the American urge to organize and communicate, nearly 50 of these educationally oriented associations have banded together into the Interassociational Management Related Group in which the officers and executives of the member associations meet at least twice annually to discuss the problems of the associations and solutions to those problems. Mr. Finn's NACUBO and our AACRAO are members of that group.

AACRAO

COMPARISON OF BUDGET ACCOUNTS

ACTUAL AND PROJECTED

1977-78 TO 1979-80

	Budget 1977-78	Actual 1977-78	Budget 1978-79	Projected Budget 1979-80
Income:				
Membership Dues	$360,000	$364,011	$360,000	$361,000
Interest & Miscellaneous	35,000	35,617	35,000	36,645
Contracts & Grants	165,000	153,585	150,000	154,500
Publications	49,000	37,542	38,000	40,000
Annual Meeting & Program	80,000	128,334	100,000	123,000
Total Income	$689,000	$719,089	$683,000	$715,145
Expenses:				
AACRAO Office	$235,866	$235,452	$251,668	$265,445
Salaries	(133,404)	(142,642)	(146,000)	(155,415)
Employee Benefits	(32,762)	(28,918)	(34,284)	(32,717)
General Office	(29,700)	(30,002)	(34,384)	(38,813)
Services & Supplies	(30,000)	(26,658)	(28,000)	(30,000)
Public Relations & Travel	(6,000)	(3,896)	(6,000)	(6,000)
Depreciation	(4,000)	(3,336)	(3,000)	(2,500)
General Administration	35,000	61,030	30,000	37,900 *
Contracts & Grants	140,000	123,951	125,000	125,000
Annual Meeting & Program	70,000	116,400	85,000	105,000 *
Professional Activities	50,000	30,118	64,000	56,800
Admissions & Financial Aid	(11,800)	(10,893)	(11,800)	(11,000)
International Education	(8,600)	(5,979)	(8,600)	(7,600)
Registration & Records	(13,400)	(5,701)	(13,400)	(10,000)
Data Management & Research	(10,200)	(7,545)	(10,200)	(8,200)
Professional Activities-General	(6,000)		(20,000)	(20,000)
Regional Association	15,000	15,226	15,000	12,000
Inter-Association	12,000	21,369	12,000	14,000
Publications	120,000	95,427	100,332	99,000
College & University	(50,000)	(46,912)	(40,000)	(48,000)
Newsletter	(30,000)	(11,855)	(20,000)	(15,000)
Transfer Credit Practices	(17,000)	(17,499)	(15,332)	(15,000)
Special Publications	(23,000)	(19,161)	(25,000)	(21,000)
Total Expenditures	$677,866	$698,973	$683,000	$715,145
Contingencies	10,000			
Development of Reserve	1,134			
Grand Total	$689,000	$698,973	$683,000	$715,145

CUA EDINBURGH 1979

AN OVERVIEW OF ADMISSIONS PRACTICES IN US COLLEGES AND UNIVERSITIES

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I. INTRODUCTION

This paper highlights a few of the complex and least understood characteristics of American higher education. It briefly describes the admissions process and its dependence on the use of previous academic records, standardized examinations, the influence of non-academic activities and recommendations on the admissions decision, and other factors in the process. Further, the paper addresses such issues as "open door," selective, and competitive admissions and describes ways in which some generalizations can be made regarding quality and content of an applicant's previous educational experience. Finally, there is mention without discussion of some contemporary issues that American college and university administrators are confronting. A glossary of terms useful for understanding American higher education concludes this paper.

There are two references that are particularly relevant to this paper. The first is "Diversity, Accessibility, and Quality: A Brief Introduction to American Education for Non-Americans," authored by Cliff Sjogren and published and distributed by The College Board, 888 Seventh Avenue, New York City 10019. That 36-page publication printed in 1977 summarizes the organization and control of U.S. education, types of institutions, program descriptions, and quality control and student evaluation. The other document, "Study Visit to the United States of America," written by Simon Rowntree, Paul Seton, and Emrys Wynn Jones, describes their observations of a 1978 educational tour of the United States. That publication, which covers several segments of American education very well, may be obtained

from the Overseas Liaison Officer, Mr. J.G. Kelly, Assistant Bursar, London School of Economics, Houghton Street, London WC 2A. That publication also includes useful addresses of U.S. educational associations. Costs of both publications are nominal. This report relies heavily on those characteristics described in "Diversity, Accessibility, and Quality: A Brief Introduction to American Education for Non-Americans" that were given little or no attention in "Study Visit to the U.S.A."

II. THE ADMISSIONS PROCESS

(Note: This section consists of excerpts from this writer's 1977 publication, "Diversity, Accessibility, and Quality: A Brief Introduction to American Education for Non-Americans," cited above.)

A. General Admissions Practices

Admission to a college or a university in the United States is considered a privilege and not a right. Most institutions, however, endeavor to establish fair and reasonable admissions policies consistent with the mission and role of the institution. Colleges and universities with "open door," or non-restricted, admissions usually employ an easily understood admissions process. Those institutions normally admit students soon after applications are received, keep admissions open until classes begin, and admit all secondary school graduates without regard to previous grades and test results. Institutions with selective admissions, however, often require applications six or more months in advance of the enrollment period, delay decisions until the entire applicant group can be evaluated, and place varying degrees of importance on grades, examinations, and other factors.

The proper evaluation of student performance in the American structure of education requires an understanding of the dynamics of the qualitative indexes that are used in the measurement of academic performance. In the United States the certificate earned is of secondary importance when compared with other factors that provide evidence of the student's qualifications for continued education or employment.

American education is characterized by a complex and sometimes bewildering array of grades, aptitude and achievement examinations, accreditation systems, enriched or honors courses, wide-ranging institutional standards (both among and within institutions!), voluntary and involuntary attrition patterns, varying admissions practices, class ranks, grade-point averages, personal recommendations, and extracurricular activities. One cannot generalize about quality of education based on size of institution, type of support, geographic location, or even by examining courses elected. Serious evaluators of student performance must become acquainted with the

overt and implied "rules" used in the process. Symbols can be misleading. There are no shortcuts or easily applied formulas that can yield a reliable quality index, and as a result, Americans as well as non-Americans frequently misjudge the level and value of a student's scholastic performance and academic and career promise.

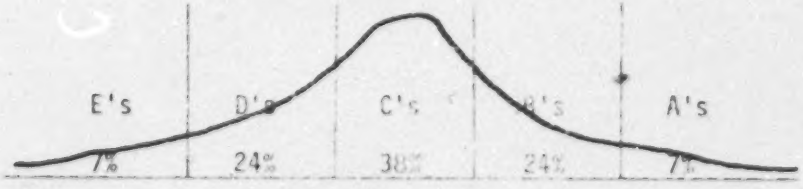
Despite the complexity of the student evaluation structure, it seems to work. American education is decentralized and its many components enjoy various degrees of autonomy. This autonomy fosters diversity which in turn encourages educational administrators to provide relevant educational experiences for the students they are obliged to serve. Multiple measurement instruments and standards applied to student evaluation, therefore, are a complex but desired trait of American education.

B. Measuring Student Performance

Course grades, or marks, are the primary instruments used in the evaluation of a student's academic performance. In various forms they are issued to students from early elementary school through graduate school. In secondary and post-secondary institutions, grades are recorded on the student's permanent record at least twice each academic year (three times in institutions employing quarters instead of semesters). Grades are accumulated to determine the grade-point average (GPA) at the conclusion of each major segment of a student's education (high school, bachelor's degree, master's degree, etc.).

Thus, it is not only the level of the diploma or the degree itself that must be considered for academic or job placement, but also the quality of academic performance. Course grades and cumulated grade-point averages are a convenient guide to determining relative levels of achievement.

Most secondary and post-secondary institutions in the United States use letter grades to designate the quality of achievement. The five categories with brief descriptions follow: An A represents consistently high performance and originality, a B indicates clearly above-average work, a C indicates average performance, a D represents minimally passing work (frequently unacceptable for transfer credit), and an E or F indicates unsatisfactory performance, or failure. Distribution of grades by an institution or an instructor is important because the grade assigned is the sole responsibility of the instructor. The bell curve below forms the basis for the normal distribution of letter grades.



During the past decade there has been a gradual but significant inflationary trend in grading. It is not unusual to find substantially more A's and B's than D's and E's, especially in the strong secondary schools and the colleges and universities with selective admissions standards.

Most institutions compute grade-point averages by assigning four points for an A, three points for a B, two points for a C, and one point for a D. The points are then multiplied by the number of credits (hours) or units represented by that grade. The total number of points are then divided by the total number of credits attempted (including failures) to establish the grade-point average.

An example of this computation is illustrated by a typical first-semester colleges student's schedule:

Course	Credits (hours)	Grade	Points
English 123	4	C	8
Chemistry 105	4	A	16
Economics 110	2	E	0
German 201	3	B	9
Psychology 170	3	A	12
	16		45

45 honor points ÷ 16 hours attempted = 2.81 GPA

College and university students are usually expected to maintain at least a 2.00 GPA to remain in good academic standing. One semester of less than a 2.00 GPA might result in academic probation, and an additional semester of poor performance might result in dismissal. Public high schools normally permit students to remain in school regardless of their performance although most require a 1.00 GPA (D average) as the minimum standard for the awarding of the diploma.

Some institutions award numerical grades, but the wide variety of meaning of the grades defies generalizations. Frequently an institution will enclose an information sheet describing the grading system and the distribution of grades. Some secondary and post-secondary institutions employ narrative evaluations of students, a practice that, because it lacks standardization, confounds many U.S. admissions personnel as they seek the best-qualified and the most-deserving students for their campuses.

The high school percentile rank (HSPR), or class rank, can yield insight into the real meaning of a student's GPA. If a student presents a high GPA (3.50) and a HSPR at the 75th percentile, it would suggest that 25 percent of the students had B+ averages or better. Care must be taken, however, to ascertain the degree to which honors, or accelerated courses were "weighted" to allow adjustments in either the GPA or the HSPR. If the school does not provide this information, the evaluator should specifically request the information. Class rank is frequently given as raw numbers only (for example, 38 in a class of 473) and the evaluator must convert it to

a more usable HSPR (92nd percentile). Colleges and universities seldom provide class ranks of their students.

C. Other Admissions Considerations

American education provides ways for intellectually gifted students to move ahead of their grades or age groups for the purpose of increasing their learning interests and skills. From the comprehensive high schools through college and university, highly qualified students are usually encouraged to elect those courses that are most academically challenging. Prior to enrolling in advanced courses, a student's educational competence must be demonstrated through testing or previous academic performance. Some students are able to complete their elementary and secondary school requirements in less than the standard 12 years. Moreover, bright and academically aggressive students sometimes complete their collegiate programs in less than four years. This acceleration is made possible by recent innovations that have taken good advantage of the flexible nature of American education.

High schools offer honors, or enriched, courses for those students who might benefit from them. Those courses usually enroll only the best students and many utilize college textbooks and instructional methods. Honors programs at the college level offer special incentives for academically talented students, for example selected library privileges, individualized curriculums, smaller classes, and tutoring. Evaluators of students who have completed honors or enriched courses should recognize the higher level of education that has generally been experienced by those students.

Letters of recommendation can be useful in student evaluations. Although most tend to be general and consistently positive, some will provide insights into a student that might otherwise be overlooked. Occasionally writers of recommendations bring attention to some unusual circumstance in the student's background that may have contributed to unsatisfactory performance, for example illness, family conflicts, unfair instructors, or reasons for English-language problems. Letters of recommendation may assume a significant importance for a student who is seeking admission to a private institution or a public or private professional school or graduate program. Recent federal legislation has had an effect on the practice of requiring letters of recommendation. The Family Educational Rights and Privacy Act of 1974 (the Buckley Amendment) gives students the right of access to their educational records unless they specifically waive the right. Although students may not remove letters they feel are damaging, they do have the right to add comments in which they can express their point of view. Applicants for admission are not included in the amendment, and some institutional staffs destroy recommendations after the admission decision has been made.

A unique feature of education in the United States is the frequent and periodic evaluation of student performance. These evaluations are done by the instructional staff through grading, examinations, and narrative reports. Students in high schools are normally

able to assess the quality of their educational progress at any time during a semester through routine feedback from instructors. Test results, grades on theses and book reports, and the quality of their contributions to class discussions, give students tangible evidence of their progress. This system also operates at the college level to a lesser extent.

A major part of the responsibility to continually assess individual strengths and weaknesses in performance rests with each student. At the college level, it is likely that the number of students who voluntarily leave the institution is greater than the number who are asked to leave because of academic problems. A student's decision to leave is not necessarily a face-saving act, but rather the result of a realistic examination of past performances, current progress, and future goals. Students who leave an institution may begin employment, enter military service, or they may enroll in institutions that are less demanding or that offer courses in other areas of interest. The flexibility of American education allows for, and indeed encourages, student-initiated adjustment of educational goals, but the student must assume a substantial amount of the responsibility for making sound choices. High schools and colleges provide counseling and guidance services to students so that each individual can make accurate assessments of his or her interests, abilities, and potential for future academic training and job placement.

A major consideration of student evaluation and performance is the effect of institutional standards on student attrition and retention. Not surprisingly, the institutions with the highest admissions standards usually experience the lowest attrition rate. Voluntary and involuntary attrition at such institutions as Stanford University, Massachusetts Institute of Technology, Princeton University, University of Michigan, University of Chicago, and University of California, Berkeley, may be five percent or less a year whereas open-door institutions, those with virtually no selectivity in admissions, may experience a 50 percent loss of students each year or more.

Continuing education and the return of students whose educations were interrupted are prominent characteristics of American education. A considerable amount of research has revealed that age and relevant life experiences are significant predictors of academic success, and institutions welcome these nontraditional students to their classrooms. These students are increasingly enrolling in programs in areas such as humanities, behavioral sciences, and economics, whereas older students used to return to college primarily for job upgrading in business, engineering, nursing, and other fields that require improvement in technical knowledge. The average age of college students is increasing significantly.

Students entering higher education in the United States should become familiar with the diversity of standards that exists among the institutions. Admission, therefore, is not the end but only a means to the end. Although some critics claim that American educators practice an "easy in - easy out" scheme, the process is much more

complex than that. Institutions with relaxed admissions requirements often maintain high academic standards. Ohio State University and the University of Kansas, for example, are obligated by state charter to admit all in-state students who hold high school diplomas (and older students without diplomas). Yet graduation from those institutions could represent a level and quality of performance comparable to institutions with more rigorous admissions requirements. Attrition rates are higher among open-door institutions because these institutions strive to give all individuals a chance to demonstrate educational readiness; some critics have unfairly called them "revolving door" institutions because of that high attrition rate. Most community colleges have open-door admissions.

The majority of private colleges and public universities employ moderately selective admissions criteria. Most applicants are admitted based on the general probability of their success. Such institutions usually enroll many well-qualified students as well as some who are minimally qualified. The majority of students, however, are average to above-average high school students.

Many U.S. colleges and universities are considered to be highly selective and competitive in admissions. Such institutions attract students primarily from the top 10 percent of their high school graduating classes or, in the case of graduate schools, students with 3.00 or better grade averages. Test scores and the quality of previous educational experiences are important. Competitive admissions suggests that the number of qualified applicants exceeds the number of places available, which necessitates the rejection of some or many qualified candidates. Admissions is sometimes competitive for particular curriculums in open-door and moderately selective institutions. In recent years, for example, qualified applicants for nursing, medical technology, physical therapy, pharmacy, and other health-related curriculums were refused admissions to most institutions because of space limitations.

Although the degree of selectivity should never be the sole criterion in the selection of an institution, it can offer some insight into the qualifications possessed by the student populations. Good students tend to attract good instructors who in turn tend to attract financial support from alumni, business, industry, and government. Prestigious institutions, therefore, are those that have three important ingredients: strong instructional staffs, well-qualified students, and adequate funding. A mistake that is frequently made, however, is to assume that the true quality of an institution is directly related to its earned or assumed prestige. Excellent educational experiences can be had in all recognized institutions and students are advised to use criteria other than prestige in the selection of a college or university.

D. Testing

It has been repeatedly suggested in this paper that high schools as well as colleges differ widely in academic standards, grading

practices, and other measurements of educational performance. Few standard measurements exist. In an educational structure that applies selectivity as an entrance characteristic, there needs to be a standard against which all candidates are compared. In the American educational structure testing assumes that role. Testing may be categorized as follows: (1) external standardized examinations; (2) academic credit by examination; and (3) classroom examinations.

There are several important external tests administered to high school students and used by colleges and universities in the admissions process. Few, if any, institutions of higher education make admissions decisions solely on test scores, but most that employ selective criteria use tests in varying degrees to aid in the prediction of academic success. Even open-door institutions frequently require preadmissions or preenrollment tests for counseling and academic placement purposes.

Although entrance examinations have historically been used in admissions, it has only been since the turn of this century that reliable standardized examinations have been available. The College Entrance Examination Board pioneered standardized tests in the United States and is now one of two major national testing agencies. The College Board offers the Scholastic Aptitude Test (SAT), Achievement Tests in several disciplines, and the Preliminary Scholastic Aptitude Tests/National Merit Qualifying Tests. The American College Testing Program (ACT), the other major testing agency, offers the American College Test Assessment (ACT) as a college admissions instrument. Both The College Board and ACT offer many supplemental services to students and institutions that assist in the admissions and placement processes.

Aptitude and achievement test results are valuable as supplements to school grades, but they are not reliable indicators of educational potential when used alone. High test scores on secure and reliable instruments such as the SAT and the ACT are significant, but low scores are sometimes open to question. Low scores may be the result of low achievement or aptitude or they may be the result of any one or a combination of the following factors: lack of test-taking sophistication; misunderstood test directions; low level of proficiency in English; physical problems, including sight and motor deficiencies; and significant cultural differences that may exist between the normative population and the student tested. The last item is particularly important when evaluating tests taken by low-income students, black and Hispanic students, foreign students, and students from families of recently landed immigrants. While it is recognized that cultural biases may exist in such tests, the results can still be of predictive value for culturally different populations.

Standardized admissions tests, although sometimes controversial, continue to be useful and appropriate measurements of ability when

combined with other factors described earlier in this paper. Indeed, these tests actually assist in the democratization of higher education by identifying capable students who may not have performed well in high school, who may have selected commercial or technical instead of college-preparatory courses, or who may have attended small or unaccredited high schools.

A key feature of undergraduate education in the United States is the practice of awarding academic credit for successful performance on subject examinations. Credit may be awarded on the basis of centrally administered national examinations or by departmental examinations developed and administered internally. The most popular national examinations are those of the Advanced Placement Program (APP) of The College Board. Some institutions also give credit and/or exemption from some first-year course requirements for The College Board Achievement Tests and the ACT.

APP is described by The College Board as a program of curriculum enrichment that begins in high schools that offer college-level studies to able, interested students. APP develops, administers, and grades examinations in 13 subject areas. Examinations are nationally administered within a specified two- or three-day period in May. According to The College Board approximately 100,000 students in nearly 3,500 high schools sat for the examinations during the May 1976 test dates. In some of the nation's prestigious post-secondary institutions as many as 25 to 50 percent of the incoming students receive APP credit with some students earning sufficient credit to be placed in the second year.

The continual assessment of student progress that characterizes American education requires periodic testing by instructors. Tests are used for two primary purposes: (1) to give the instructor tangible evidence of a student's performance in order to award the appropriate mark, or grade, and (2) to give the student an indication of his or her progress as compared to the other students in the class.

Classroom examinations may be given weekly or even more often, or they may be given only two or three times each semester. They may be essay, objective, short-answer, or open-book tests. They are not normally used as screening devices, but they are frequently useful as guidance tools to help students realistically evaluate their educational goals.

Although it was not the intent of this paper to discuss special foreign student admissions practices, it was felt that English proficiency measurement is important when considering the dimension of accessibility to United States colleges and universities. The Test of English as a Foreign Language (TOEFL) is a test sponsored jointly by The College Board and the Graduate Record Examinations Board and administered by the Educational Testing Service. It is administered four times each year at testing sites throughout most of the world. TOEFL is a reliable and secure instrument that measures a student's listening comprehension, sentence structure, written expression,

vocabulary, and reading comprehension. TOEFL is required by both graduate and undergraduate institutions.

The quality of American education is best demonstrated by its ability to educate the masses while providing a favorable environment for the intellectual and creative pursuits of academically gifted students. Although many problems remain to be solved, the style and content of American education with its diversity, accessibility, and quality seem to be well suited to the goals of this republic.

III. SOME SIGNIFICANT ISSUES AFFECTING U.S. HIGHER EDUCATION

Following are listed five issues which are of concern to American educators and the general population as well. Using this paper as background information, these issues will be discussed at the Edinburgh Conference.

A. Declining Enrollments

Faced with substantial investments in educational facilities and an over supply of instructors in most academic fields, U.S. institutions are intensifying student recruiting efforts.

B. Foreign Student Enrollments

Over one quarter of a million foreign students are now enrolled in U.S. colleges and universities and national discussions are being held on the impact that specific groups, including Iranians, Nigerians, and Chinese, have on educational processes.

C. Minority Student Enrollments

While some progress has been made, Blacks, Spanish surnamed people, and American Indians remain seriously underrepresented in American higher education.

D. Federal and State Legislation Affecting U.S. Higher Education

Quick and well-conceived responses are required by U.S. educators as they address legislative and court mandates including the Family Educational Rights and Privacy Act of 1974, the Rehabilitation Act of 1973, civil rights and women's rights legislation, and the Bakke Decision handed down in June 1978.

E. Escalating Costs to the Consumers of a College Education

There is compelling evidence that the consumer's costs for higher education are having an increasing and disturbing influence on who goes to college.

GLOSSARY

Accreditation. The process of giving recognition to schools, colleges, and universities that meet certain educational standards.

Admission. Permission to enroll in a college or a university.

Associate's degree. The certificate or diploma awarded, usually by a junior or community college, after two years of college work.

Bachelor's degree. The certificate or diploma awarded after four or five years of college or university work.

Carnegie unit. A measurement of classroom attendance at the secondary-school level. One unit represents one hour per day each academic year or between 180 and 190 hours of classroom contact.

Community colleges. Public-supported two-year colleges offering both transfer and terminal postsecondary course work. Appropriate course work may satisfy the first two years of bachelor's degree and preprofessional program requirements.

Competitive admissions. Policy of granting admissions to only the best of the academically qualified applicants. Less-qualified candidates are rejected because of space limitations.

Consortium. A group of autonomous institutions among which there are agreements to act jointly in regard to common interests such as research, management of facilities, educational programs, sharing of library facilities, etc.

Counties. Governmental units that usually include several communities and surrounding unincorporated areas. The state of Michigan, for example, is made up of more than 80 counties.

Credit hour (semester hour). A measurement of class time. Usually one credit hour represents one hour each week for a semester. Most courses yield between three and five credit hours. Sometimes referred to as "credits," or "hours."

Doctorate. The most advanced academic degree offered in the United States. For a comprehensive description refer to The Doctor of Philosophy Degree published by the Council of Graduate Schools of the United States, One Dupont Circle, Washington, D.C. 20036.

Dropout. A student who leaves school with no intention of returning.

Early Admission. A process whereby some highly qualified secondary school stu-

dents are admitted to institutions of higher education before they complete their secondary school diploma.

Enrollment. Registering for and attending classes.

Grade-point average (GPA). A measurement of the quality of a student's performance. The GPA is determined by dividing the total number of honor points earned by the number of credit hours attempted (for example, 168 honor points divided by 51 credit hours attempted yields a GPA of 3.29). (See Honor points.)

Graduate student. A student who is enrolled in a program leading to a master's or doctorate degree.

High school (secondary school) diploma. The certificate awarded at the completion of high school. The high school diploma does not guarantee admission to a college or university.

Honor points (HP's). The qualitative value given to earned grades in order to create a grade-point average. Values are usually as follows: A = 4 HP's, B = 3 HP's, C = 2 HP's, D = 1 HP, E = 0 HP. For example, six hours of A, four hours of B, two hours of C, and three hours of D (6 x 4 + 4 x 3 + 2 x 2 + 3 x 1) would yield 43 honor points. Therefore, the GPA would be 2.87 (43 ÷ 15). (See Grade-point average.)

Interdisciplinary major. A student's academic program that consists of two or more major subjects.

Junior colleges. Usually private, two-year, postsecondary colleges that offer transfer course work that may satisfy the first two years of bachelor's degree and preprofessional program requirements.

Liberal arts. A bachelor's degree program (in history, literature, chemistry, mathematics, etc.) intended primarily to provide general knowledge. The program usually also satisfies preprofessional program requirements.

Major. The academic discipline, or group disciplines, that constitute the primary emphasis of a student's high school, college, or university program. A major is also known as a field of concentration.

Master's degree. The certificate or diploma awarded after one or more years of work following the bachelor's degree. For a comprehensive description refer to: The Master's Degree: A Policy Statement, published by the Council of Graduate Schools, One Dupont Circle, Washington, D.C. 20036.

Open-door admissions. Admissions granted to all applicants regardless of academic qualifications.

Preenrollment (or enrollment) deposit. A fee, usually $50 or $100, paid in advance of enrollment to ensure a place in the class.

Private institutions. Colleges and universities that receive little or no direct financial support from government sources.

Professional degree. A degree representing satisfactory academic qualifications for professional certification (for example, in the fields of law, medicine, pharmacy, business, nursing, and architecture). For a comprehensive description of professional degrees, refer to The Professional Doctorate published by the Council of Graduate Schools of the United States, One Dupont Circle, Washington, D.C. 20036.

Public institutions. Colleges and universities that receive substantial financial support from local or state governmental sources.

Quarter. An academic period, consisting of about 12 weeks, equal in value to two-thirds of a semester. The calendar year can be divided into four quarters.

Rolling admissions. Procedure in which admissions decisions are made and reported as applications are received.

Selective admissions. Policy of granting admission only to those students who present academic qualifications that suggest at least a reasonable probability of success.

Semester. An academic period usually consisting of between 14 and 18 weeks. One calendar year can be divided into two semesters and a summer session equal to half a semester.

Semester hour. (See Credit hour.)

Special student. An enrolled student who has not been admitted to a degree program.

Stopout. A student who leaves school with the intention of returning after one or more terms.

Trimester. An academic period considered equal in value to a semester. The calendar year can be divided into three trimesters.

Undergraduate student. A student enrolled in a program leading to a bachelor's degree.